

000FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE REV. 2/01T		CUSTOMER NO. 22,852 ATTORNEY'S DOCKET NUMBER  05999.0190  U.S. APPLICATION NO. (If known, see 37 CFR 1.15) <b>107538874</b>
<p><b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b></p>		
INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/EP2002/014880	December 23, 2002	
<p><b>TITLE OF INVENTION: PHOTOCROMIC OPTICAL WAVEGUIDES AND METHOD FOR THE PREPARATION THEREOF</b></p>		
<p><b>APPLICANTS FOR DO/EO/US: 1) Marco COLOMBO, 2) Antonio ZAOPO, 3) Yuri A. DUBITSKY, 4) Giuseppe ZERBI, 5) Chiara BERTARELLI, and 6) Maria Carla GALLAZZI</b></p>		
<p>Applicants herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p>		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)).</p> <p>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed with the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).</p> <p>a. <input type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154 (d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</p>		
<p><b>Items 11 to 20 below concern document(s) or information included:</b></p>		
<p>11. <input checked="" type="checkbox"/> Information Disclosure Statement under 37 CFR 1.97 and 1.98</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</p> <p>15. <input type="checkbox"/> A Substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154 (d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application 35 U.S.C. 154 (d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information:</p> <p>a. <input checked="" type="checkbox"/> Copy of cover page of International Publication No. WO 2004/057377 A1.</p> <p>b. <input type="checkbox"/> Copy of Notification of Missing Requirements.</p>		

U.S. APPLICATION NO. (If known, see 37CFR 1.5) <b>10/538874</b>		INTERNATIONAL APPLICATION NO. PCT/EP2002/014880		ATTORNEY'S DOCKET NUMBER 05999.0190																																																																																
<p>21. <input checked="" type="checkbox"/> The following fees are submitted:</p> <table> <tr> <td><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b></td> <td><b>\$300.00</b></td> </tr> <tr> <td>National Stage Search Fee.....</td> <td>\$500.00</td> </tr> <tr> <td>National Stage Examination Fee.....</td> <td>\$200.00</td> </tr> <tr> <td colspan="2" style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></td> </tr> <tr> <td colspan="2" style="text-align: right;"><b>\$1000.00</b></td> </tr> </table> <p><input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is <b>\$250</b> for each additional 50 sheets of paper or fraction thereof.</p> <table> <thead> <tr> <th>Total Sheets</th> <th>Extra Sheets</th> <th>Number of additional 50 or fraction thereof (rounded up to a whole number)</th> <th>Rate</th> </tr> </thead> <tbody> <tr> <td>12 - 100 =</td> <td>/50=</td> <td></td> <td>x 250.00</td> </tr> </tbody> </table> <p>Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30</p> <table> <thead> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td>18</td> <td>- 20 =</td> <td>x \$50.00</td> </tr> <tr> <td>Independent Claims</td> <td>2</td> <td>-3 =</td> <td>x \$200.00</td> </tr> <tr> <td colspan="3"><input type="checkbox"/> MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+\$360.00</td> </tr> <tr> <td colspan="4" style="text-align: right;"><b>TOTAL OF THE ABOVE CALCULATIONS =</b></td> <td><b>\$1000.00</b></td> </tr> <tr> <td colspan="4"><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.</td> <td><b>\$</b></td> </tr> <tr> <td colspan="4" style="text-align: right;"><b>SUBTOTAL =</b></td> <td><b>\$1000.00</b></td> </tr> <tr> <td colspan="4">Processing fee of <b>\$130.00</b> for furnishing the English translation later than months from the earliest priority date (37 CFR 1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30</td> <td><b>\$</b></td> </tr> <tr> <td colspan="4" style="text-align: right;"><b>TOTAL NATIONAL FEE =</b></td> <td><b>\$1000.00</b></td> </tr> <tr> <td colspan="4">Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property. +</td> <td><b>\$</b></td> </tr> <tr> <td colspan="4" style="text-align: right;"><b>TOTAL FEES ENCLOSED =</b></td> <td><b>\$1000.00</b></td> </tr> <tr> <td colspan="4"></td> <td>Amount to be refunded:</td> </tr> <tr> <td colspan="4"></td> <td>charged:</td> </tr> </tbody></table> <p>a. <input checked="" type="checkbox"/> A check in the amount of <u>\$ 1000.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>06-0916</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Finnegan, Henderson, Farabow, Garrett &amp; Dunner, L.L.P. 901 New York Avenue, NW Washington, D.C. 20001-4413 EFC/FPD/sci DATED: June 14, 2005</p> <p> SIGNATURE Ernest F. Chapman/25,961 NAME/REGISTRATION NO.</p>						<b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b>	<b>\$300.00</b>	National Stage Search Fee.....	\$500.00	National Stage Examination Fee.....	\$200.00	<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		<b>\$1000.00</b>		Total Sheets	Extra Sheets	Number of additional 50 or fraction thereof (rounded up to a whole number)	Rate	12 - 100 =	/50=		x 250.00	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total Claims	18	- 20 =	x \$50.00	Independent Claims	2	-3 =	x \$200.00	<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+\$360.00	<b>TOTAL OF THE ABOVE CALCULATIONS =</b>				<b>\$1000.00</b>	<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.				<b>\$</b>	<b>SUBTOTAL =</b>				<b>\$1000.00</b>	Processing fee of <b>\$130.00</b> for furnishing the English translation later than months from the earliest priority date (37 CFR 1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				<b>\$</b>	<b>TOTAL NATIONAL FEE =</b>				<b>\$1000.00</b>	Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property. +				<b>\$</b>	<b>TOTAL FEES ENCLOSED =</b>				<b>\$1000.00</b>					Amount to be refunded:					charged:
<b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b>	<b>\$300.00</b>																																																																																			
National Stage Search Fee.....	\$500.00																																																																																			
National Stage Examination Fee.....	\$200.00																																																																																			
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>																																																																																				
<b>\$1000.00</b>																																																																																				
Total Sheets	Extra Sheets	Number of additional 50 or fraction thereof (rounded up to a whole number)	Rate																																																																																	
12 - 100 =	/50=		x 250.00																																																																																	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																																																																																	
Total Claims	18	- 20 =	x \$50.00																																																																																	
Independent Claims	2	-3 =	x \$200.00																																																																																	
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+\$360.00																																																																																	
<b>TOTAL OF THE ABOVE CALCULATIONS =</b>				<b>\$1000.00</b>																																																																																
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.				<b>\$</b>																																																																																
<b>SUBTOTAL =</b>				<b>\$1000.00</b>																																																																																
Processing fee of <b>\$130.00</b> for furnishing the English translation later than months from the earliest priority date (37 CFR 1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				<b>\$</b>																																																																																
<b>TOTAL NATIONAL FEE =</b>				<b>\$1000.00</b>																																																																																
Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property. +				<b>\$</b>																																																																																
<b>TOTAL FEES ENCLOSED =</b>				<b>\$1000.00</b>																																																																																
				Amount to be refunded:																																																																																
				charged:																																																																																